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Morgan, Lewis  
& Bockius LLP  
COUNSELORS AT LAW

## FAX MESSAGE

## Send to:

(1) Name: Petitions Branch  
Firm: USPTO

Group Art Unit 1632 FAX Number: 703-308-6916  
Telephone Number: 703-305-9282

## From:

Name: Bonnie Weiss McLeod

Telephone Number: 202 739-6150

Floor:

Date Sent: July 2, 2003

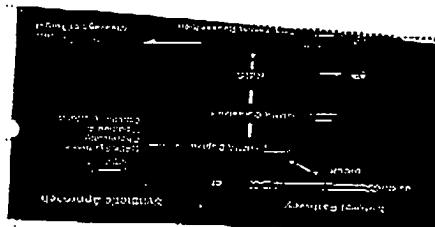
Number of Pages (INCLUDING COVER PAGE):

## Note:

THE INFORMATION CONTAINED IN THIS FAX MESSAGE IS INTENDED ONLY FOR THE PERSONAL AND CONFIDENTIAL USE OF THE RECIPIENT(S) NAMED ABOVE. THIS MESSAGE MAY BE AN ATTORNEY-CLIENT COMMUNICATION AND AS SUCH IS PRIVILEGED AND CONFIDENTIAL. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT OR AN AGENT RESPONSIBLE FOR DELIVERING IT TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT YOU HAVE RECEIVED THIS DOCUMENT IN ERROR AND THAT ANY REVIEW, DISSEMINATION, DISTRIBUTION, OR COPYING OF THIS MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE, AND RETURN THE ORIGINAL MESSAGE TO US BY MAIL. THANK YOU.

## Comments:

Rc: U.S. Patent No. 6,506,559  
Application No.: 09/215,257  
Our Reference No.: 056100-5021



RNAi technology is a powerful tool for studying gene function and for developing new therapies. It involves the use of small RNA molecules to silence specific genes. This process is highly efficient and can be used to study a wide range of genes. RNAi technology has been used to study the function of many genes, including those involved in cancer, development, and disease. It has also been used to develop new therapies for a variety of diseases, including cancer, HIV, and hepatitis. RNAi technology is a rapidly evolving field, and it is expected to have many more applications in the future.

RNAi Technologies

GENETIC ENGINEERING NEWS

Volume 22, Number 31, December 2002

U.S. Patent No.: 6,506,559

Attorney Docket No.: 056100-5021-01US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent of: )  
Andrew Z. FIRE *et al.* )  
U.S. Patent No.: 6,506,559 )  
Application No.: 09/215,257 )  
Filed: December 18, 1998 )  
Issued: January 14, 2003 )  
For: GENETIC INHIBITION BY )  
DOUBLE STRANDED RNA )

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JUL 02 2003  
PETITIONS OFFICE

Commissioner of Patents  
U.S. Patent and Trademark Office  
2011 South Clark Place  
Customer Window, Mail Stop Petition  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

STATUS REQUEST LETTER REGARDING  
PETITION UNDER 37 C.F.R. § 1.182  
TO REPRINT THE FRONT PAGE OF THE LETTERS PATENT

This letter is to request the status of the Petition Under 37 C.F.R. § 1.182 to Reprint the Front Page of the Letters Patent, filed on January 22, 2003 (copy of petition and associated papers are attached hereto). According to a telephone conference with a member of the Petitions Branch this morning, the petition was entered but has not been acted upon. The undersigned requests to be contacted by telephone regarding the status of this petition and further requests immediate consideration of the petition if it has not yet been considered.

Respectfully submitted,

*Paul N. Kokulis*  
Paul N. Kokulis  
Reg. No. 16,773

CUSTOMER NO.: 009629  
MORGAN, LEWIS & BOCKIUS LLP  
1111 Pennsylvania Avenue, N.W.  
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Telephone: 202-739-3000

# RNAi Technologies

Continued from page 1

The RNAi expression vector technology is an important addition to this product line, according to Mark Winkler, CEO of AduBio.

"RNA interference is revolutionizing the field of functional genomics. Because siRNA expression vectors permit long-term RNAi studies, they represent an extremely important development in the field," he notes.

RNAi, a natural phenomenon that was first described in plants and later in mammals, is serving the biotechnology industry as a tool to not only down-regulate genes but to aid the search for new drugs. Like antisense, RNAi works by sequence-specific gene inactivation.

Supporters of this new technology say that RNAi does not face the initial problems encountered by first-generation antisense compounds. Initially antisense suffered because double-stranded RNA was unstable and degraded too rapidly to have a significant therapeutic effect. It was necessary to chemically modify antisense molecules to extend the useful life.

Originally, antisense was not potent at low doses leading to toxicity concerns. RNAi provides longer-acting gene inhibition at lower concentrations than required by antisense oligonucleotides.

## Natural Mechanism

Unlike antisense, RNAi silences genes by a natural mechanism using stable double-stranded RNAi (dsRNAi) to trigger mRNA degradation. dsRNAi essentially activates a catalytic pathway that is part of a cell's normal defense system. Specificity is based on using the sequence of one strand of dsRNAi to match the mRNA target. In nature, long sequences of dsRNA are cleaved into small interfering RNAi.

But intervening long segments of dsRNA can activate an interference or silencing response in mammals. This nonspecific cytotoxic effect is seen as a generalized shut down of genes and the resultant apoptosis. Using short sequences of less than 60 base pairs of dsRNA does not provoke this cell-death response and generates the catalytic destruction of mRNA resulting in gene silencing.

RNAi technology is a lower cost alternative that offers a significant time savings, compared with the labor-intensive homologous recombination methods for making knockout models to study gene expression. With RNAi it is also possible to study the lethal phenotypes that are unattainable from gene knock-out technology.

## Companies Focused

Based on its promise for enhancing or suppressing of specific genes, several companies were founded to develop RNAi therapies only a few years after RNAi research was first

published in 1998. Among the companies that are primarily pursuing RNAi are Ribopharm (Arlinghaus, Germany), Genix Bioscience (Uppsala, Germany), and Rowett (St. Lucia, Australia). Each of the companies is pursuing patent protection for RNAi technology.

In August, the European Patent Office granted Ribopharm a patent covering the method for using 23-base pair dsRNA (siRNA) to inhibit gene expression. The company is using this patented technology to make inhibitory compounds that are active at a low dose and have only minor side effects.

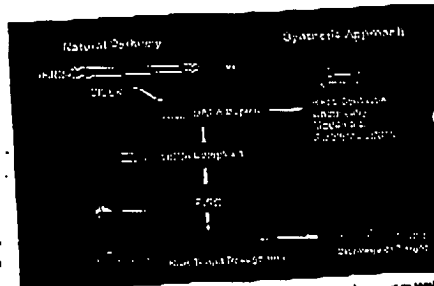
Product development is aimed at switching off cancer and viral genes. Ribopharm expects that its

most advanced product based on siRNA (small interfering RNA duplex) compounds will enter clinical testing soon in patients with melanoma.

"We own an issued patent covering the use of short double-stranded siRNAs for inducing RNA interference," says Ulrich Hodder Ph.D., vp of business development. "A German patent was granted in April and covers the use of RNAi that has sticky ends on either one side or both sides of the molecule."

The European Patent Office granted another patent in July that covers the use of small interfering siRNA up to 23 base pairs long

See RNAi technologies on page 70



The natural RNAi pathway uses a nuclease called Dicer to process endogenous or foreign dsRNA molecules into small fragments of 21-23 base pairs. These siRNA fragments then associate with a protein complex called the RNA-induced silencing complex, which uses one strand of the siRNA to specifically target either an mRNA for cleavage. The siRNA has one or two strands that are highly resistant to nucleic acid degradation and are highly resistant to nucleic acid degradation. The siRNA is highly resistant to nucleic acid degradation and is highly resistant to nucleic acid degradation.

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Eppendorf Twin.tec PCR plates are available as stirred and vented plates designed for 100 and 250 µl. They are well-suited for the stirred plate method to the "SBS standard" and is optimized for automated applications. Thanks to its low profile design, it is extremely efficient when used with small volumes of specimens.



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Biotech News  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent of: )  
Andrew Z. FIRE *et al.* )  
U.S. Patent No.: 6,506,559 )  
Application No.: 09/215,257 )  
Filed: December 18, 1998 )  
Issued: January 14, 2003 )  
For: GENETIC INHIBITION BY )  
DOUBLE STRANDED RNA )

PETITION UNDER 37 C.F.R. § 1.182  
TO REPRINT THE FRONT PAGE  
OF THE LETTERS PATENT

\*\* Hand-Carry To Office Of Petitions  
Crystal Plaza 4, Room 3-C23 \*\*

FAX RECEIVED

JUL 02 2003

PETITIONS OFFICE

Office of Petitions  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This is a Petition under 37 C.F.R. § 1.182 to request that the front page of the attached original Letters Patent be corrected and reprinted to include the correct names of the assignees. Accompanying this petition is a second petition requesting that the rules under 37 CFR §3.81(a) be waived to permit the correct names of the assignees of the above-mentioned patent to be provided after issuance.

On October 22, 2002, Applicant's agent submitted two copies of Issue Fee Transmittal Form PTOI-85 noting the sole assignee as "Carnegie Institute of Washington." This assignee designation was erroneous in two respects:

- (1) A second assignment to "The University of Massachusetts" was recorded on March 19, 1999, at Recd/Frame 009825/0207 (copies of the Notice of Recordation and assignment documents are attached hereto); and
- (2) "Carnegie Institute of Washington" contains an inadvertent error in that the word "Institute" should actually be "Institution" (see copies of Notice of Recordation and assignment

attached hereto). Thus, the correct name of the first assignee should be "Carnegie Institution of Washington," and "The University of Massachusetts" should be included on the face of the patent as the second assignee. As explained in the attached petition under 37 CFR §1.183, the error was inadvertent and due to high public interest, the Office should reprint the first page, particularly in view of patentee's promptness in seeking the requested relief.

According to 37 CFR §1.182, all situations not specifically provided for in the regulations will be decided in accordance with the merits of each situation by or under the authority of the Commissioner. The Commissioner therefore has the authority to approve reprinting of the first page of the Letters Patent. While Applicant is aware that the original Letters Patent is reprinted only under very rare circumstances, as explained in the attached Petition under 37 CFR §1.183, justice requires that the correct assignees be named on the face of the patent in the present case.

The above-mentioned patent covers one of the most important inventions of the year, an invention that is jointly owned by Carnegie Institution of Washington and The University of Massachusetts. The importance of the invention is emphasized by several scientific articles submitted herewith and discussed in the accompanying petition under 37 CFR §1.183. Given the importance of the invention and the number of readers that will no doubt request a copy of the patent, it is only fair that both of the owners of this important invention are shown on the face of the patent. Listing the second assignee in a certificate of correction rather than on the face of the patent would not serve justice adequately, since the face of the patent would be viewed by potential readers much more frequently than a certificate attached to the patent. Failure to correct the face of the patent to reflect the names of both assignees would rob the second

10/10/01

ATTORNEY DOCKET NO.: 056100 5021 01

Patent No.: 6,506,559

Petition Under 37 C.F.R. § 1.182 - Page 3

assignee of its due recognition as a co-owner of the invention, an injustice that should not prevail solely because the Applicant's agent made an inadvertent error in completing the PTOL-85 form.

The \$130.00 petition fee required by 37 C.F.R. § 1.17(h) is being submitted with this Petition. The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment, to Deposit Account 50-0310.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP



Bonnie Weiss-McLeod, Ph.D.

Reg. No. 43,255

January 22, 2003

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Washington, D.C. 20004

Telephone: 202-739-3000

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Attachments:

- Petition under 37 CFR §1.183 to Waive the Rules under 37 CFR §3.81(a)
- Notice of Assignment recordation and assignment for University of Massachusetts
- Notice of Assignment recordation and assignment for Carnegie Inst. of Washington
- Letters Patent
- Journal article: Science, Dec. 2002, Vol. 298, pages 2296-97
- Journal article: excerpt from The Wall Street Journal, Tuesday, Aug. 6, 2002
- Journal article: Genetic Engineering News, Dec. 2002, Vol. 22(21), pages 1, 3, 70 & 80
- Meeting agenda, Applications of RNA Interference, Feb. 10-11, San Diego, CA

JUL 02 2003 12:42 PM FR 73

(2) "Carnegie Institute of Washington" contains an inadvertent error in that the word "Institute" should actually be "Institution" (see copies of Notice of Recordation and assignment attached hereto). Thus, the correct name of the first assignee should be "Carnegie Institution of Washington," and "The University of Massachusetts" should be included on the face of the patent as the second assignee.

The failure to include the correct information pertinent to the assignment held by the University of Massachusetts was an inadvertent oversight, as was the misspelling of the assignee name that was indicated on the Issue Fee Transmittal document, PTOL-85B. The error was recognized immediately upon the PTO's homepage posting of U.S. 6,506,559, and this petition and the accompanying petition under §1.182 have been filed immediately upon receipt of the original Letters Patent.

According to 37 CFR §1.183, in an extraordinary situation, when justice requires, any requirement of the regulations which is not a requirement of the statutes may be suspended or waived by the Commissioner or the Commissioner's designee, or on petition of the interested party, subject to such other requirements as may be imposed. In the present case, justice requires that the correct assignees be named on the face of the patent, because the patent covers one of the most important inventions of the year, an invention that is jointly owned by Carnegie Institution of Washington and The University of Massachusetts. We anticipate high public interest in this patent and wish to insure that the public is immediately cognizant of the co-ownership of the patent. Further, we wish to avoid public reliance on incomplete assignment information. These goals can only be achieved by reprinting the front page of US 6,506,559 and correcting the information in the electronic databases that are available to the public.

To demonstrate the importance of the invention claimed in U.S. Patent No. 6,506,559, attached hereto are several scientific articles demonstrating the excitement of the biotechnology community towards the claimed technology. For instance, the attached article recently published by Science magazine (Vol. 298, Dec. 20, 2002) heralded the technology - which has been dubbed "RNA interference" - as the #1 scientific breakthrough of the year 2002. The article further notes how the true power of double-stranded RNA in the inhibition of gene expression was not appreciated until the work of Andrew Fire of the Carnegie Institution of Washington, Craig Mello of the University of Massachusetts and their colleagues (the inventors of U.S. 6,506,559) (see the paragraph bridging columns 1 and 2, page 229G).

The attached excerpt from the Aug. 6, 2002, edition of The Wall Street Journal also discusses how the work of Andrew Fire and Craig Mello (two of the inventors of U.S. Patent 6,506,559) "set off a flurry of activity, as it dawned on scientists that if gene-silencing was working in plants, and now in worms, it might be a general phenomenon in all animals." Indeed, as summarized in a recent Genetic Engineering News article (Vol. 22, Dec. 21, 2002), several companies have since been founded solely on the promise of RNA interference therapies (see the bottom of col. 1 on page 3), and several other companies are supplying RNA interference reagents and kits for using RNA interference to silence gene expression in virtually any cell line (see first textual column on page 80). The attached copy of the agenda for the conference entitled Applications of RNA Interference to take place on February 10-11, 2003, in San Diego, California, also demonstrates the high quantity of recent activity that has occurred in the area of RNA interference.

U.S. Patent No. 6,506,559 is the first issued U.S. patent to cover methods of inhibiting gene expression using double stranded RNA. A substantial number of licensees have already

ATTORNEY DOCKET NO.: 056100-5021-01

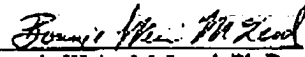
Patent No.: 6,506,559

Petition Under 37 C.F.R. § 1.183 - Page 3

The \$130.00 petition fee required by 37 C.F.R. § 1.17(h) is being submitted with this Petition. Applicants have also included payment of \$100.00 for placement of a certificate of correction in the archives as advised by the Petitions Branch. The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment, to Deposit Account 50-0310.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP

  
Bonnie Weiss McLeod, Ph.D.  
Reg. No. 43,255

January 22, 2003

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Washington, D.C. 20004  
Telephone: 202-739-3000  
Facsimile: 202-739-3001

Attachments:

- Petition under 37 CFR §1.182 to Reprint the Front Page of the Letters Patent
- Notice of Assignment recordation and assignment for University of Massachusetts
- Notice of Assignment recordation and assignment for Carnegie Inst. of Washington
- Letters Patent
- Journal article: Science, Dec. 2002, Vol. 298, pages 2296-97
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- Journal article: Genetic Engineering News, Dec. 2002, Vol. 22(21), pages 1, 3, 70 & 80
- Meeting agenda, Applications of RNA Interference, Feb. 10-11, San Diego, CA

CHW:221014



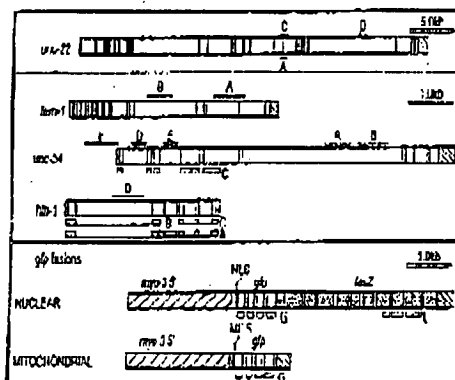
US006506559B1

**(12) United States Patent**  
**Fire et al.****(10) Patent No.:** US 6,506,559 B1  
**(45) Date of Patent:** \*Jan. 14, 2003**(54) GENETIC INHIBITION BY  
DOUBLE-STRANDED RNA****(75) Inventors:** Andrew Fire, Baltimore, MD (US);  
Stephen Kostar, Chicago, IL (US);  
Mary Montgomery, St. Paul, MN  
(US); Lisa Timmons, Lawrence, KS  
(US); SiQun Xu, Ballwin, MO (US);  
Hiroyuki Tabara, Shizuoka (JP);  
Samuel E. Driver, Providence, RI  
(US); Craig C. Mello, Shrewsbury, MA  
(US)5,107,065 A 4/1992 Shewmaker  
5,190,931 A 3/1993 Inouye  
5,208,149 A 5/1993 Inouye  
5,258,360 A 11/1993 Carter  
5,272,065 A 12/1993 Inouye  
5,365,015 A 11/1994 Grierson et al.  
5,453,566 A 9/1995 Shewmaker  
5,738,985 A 4/1998 Miles  
5,795,715 A 5/1998 Livache  
5,874,553 A 2/1999 Dervan  
5,972,704 A \* 10/1999 Davies et al.  
6,010,908 A 1/2000 Giucconi et al.  
6,136,601 A 10/2000 Meyer, Jr. et al.**(73) Assignee:** Carnegie Institute of Washington,  
Washington, DC (US)**(\*) Notice.** This patent issued on a continued prosecution application filed under 37 CFR 1.53(d), and is subject to the twenty year patent term provisions of 35 U.S.C. 154(a)(2).

Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 0 days.

**FOREIGN PATENT DOCUMENTS**WO 94/01550 \* 1/1994  
WO 99/32619 7/1999  
WO 99/53050 10/1999  
WO 99/61631 12/1999  
WO 00/01846 1/2000  
WO 00/65564 10/2000**OTHER PUBLICATIONS**Sharp, 1999, Genes and Development, 13:139-141.\*  
Clemens, et al., May 23, 2000, Proc Natl Acad Sci, early edition,  
<http://www.pnas.org/cgi/doi/10.1073/pnas.110149597>.\*

(List continued on next page.)

**(21) Appl. No.:** 09/215,257**(22) Filed:** Dec. 18, 1998**Related U.S. Application Data****(60)** Provisional application No. 60/068,562, filed on Dec. 23, 1997.**(51) Int. Cl.<sup>7</sup>** ..... C12O 1/68; C12N 15/85  
**(52) U.S. Cl.** ..... 435/6; 435/91.1; 435/325  
**(58) Field of Search** ..... 514/44; 435/6;  
435/91.1; 325**(56) References Cited****U.S. PATENT DOCUMENTS**4,469,863 A 9/1984 Ts'o et al.  
4,511,713 A 3/1985 Miller et al.  
5,034,323 A 7/1991 Jorgensen et al.**(57) ABSTRACT**A process is provided of introducing an RNA into a living cell to inhibit gene expression of a target gene in that cell. The process may be practiced *ex vivo* or *in vivo*. The RNA has a region with double-stranded structure. Inhibition is sequence-specific in that the nucleotide sequences of the duplex region of the RNA and of a portion of the target gene are identical. The present invention is distinguished from prior art interference in gene expression by antisense or triple-strand methods.**22 Claims, 5 Drawing Sheets**

NOVEMBER 29, 1999

PILLSBURY MADISON & SUTRO LLP  
PAUL N. KOKULIS  
1100 NEW YORK AVENUE, N.W.  
NINTH FLOOR, EAST TOWER  
WASHINGTON, D.C. 20005-3918

PTAS

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231



\*101163112A\*

**CORRECTED  
NOTICE**

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/19/1999

REEL/FRAME: 009825/0120  
NUMBER OF PAGES: 11

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
FIRE, ANDREW Z.

DOC DATE: 01/15/1999

ASSIGNOR:  
MONTGOMERY, MAY K.

DOC DATE: 01/29/1999

ASSIGNOR:  
TIMMONS, LISA

DOC DATE: 01/22/1999

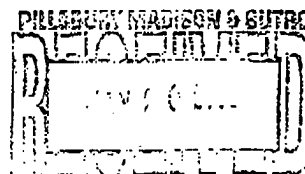
ASSIGNOR:  
XU, SIQUN

DOC DATE: 01/12/1999

ASSIGNOR:  
KOSTAS, STEPHEN A.

DOC DATE: 01/20/1999

ASSIGNEE:  
CARNEGIE INSTITUTION OF  
WASHINGTON, THE  
1530 P STREET, N.W.  
WASHINGTON, D.C. 20005



009835/0120 PAGE 2

SERIAL NUMBER: 09215257  
PATENT NUMBER:

FILING DATE: 12/18/1998  
ISSUE DATE:

JACQUELINE MOORE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

BOX ASSIGNMENTS

11-16-1999

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TO THE ASSISTANT COMMISSIONER

SIR: PLEASE RECORD THE ATTACHED ORIGINAL DOCUMENTS OR COPY THEREOF.

1. NAME OF CONVEYING PARTY(IES) (ASSIGNORS(S)):

- 1. Andrew Z. Fire
- 3. Mary K. Montgomery
- 5. Lisa Timmons
- 7.

- 2. Siqun Xu
- 4. Stephen A. Kostas
- 6.
- 8.



ADDITIONAL NAME(S) OF CONVEYING PARTY(IES) ATTACHED? ☐ YES ☒ NO

2. PARTY(IES) (ASSIGNEE(S)) RECEIVING INTEREST:

NAME: The Carnegie Institution of Washington

ADDRESS: 1530 P Street, N.W., Washington, D.C. 20005

ADDITIONAL NAME(S) & ADDRESS(ES) ATTACHED? ☐ YES ☒ NO

3. NATURE OF CONVEYANCE (DOCUMENT):

(Submit herewith only one document for recordation—multiple copies of same Assignment signed by different inventors is one document)

☒ ASSIGNMENT OF ☒ WHOLE ☐ PART INTEREST

☐ CHANGE OF NAME ☐ ACCURATE TRANSLATION  
☐ SECURITY ☐ MERGER ☐ OTHER:

EXEC. DATE: 1/12/99; 1/15/99; 1/20/99; 1/22/99; 1/29/99

EXECUTION DATE(S) ON THE DECLARATION IF FILED HEREWITH: (NOTE: IF DATES ON DECLARATION AND ASSIGNMENT DIFFER SEE ATTY.)

4.5 APPL. NO.(S) OR PAT NO.(S). OTHERS ON ADDITIONAL SHEET(S) attached? ☐ YES ☒ NO

A: PAT. APP. NO.(S) series code/serial no.	INVENTOR if not in item 1	B: PATENT NO.(S)	INVENTOR if not in item 1
09/215,257	256628		

5. Name & Address of Party to Whom Correspondence Concerning Document Should be Mailed:

Pillsbury Madison & Sutro LLP  
Intellectual Property Group  
1100 NEW YORK AVENUE, N.W.  
NINTH FLOOR, EAST TOWER  
WASHINGTON, D.C. 20005-3918

6. NUMBER INVOLVED:  
APPLNS 1 + PATS \_\_\_\_\_ = TOTAL 1

7. AMOUNT OF FEE ENCLOSED: (Code 581)  
ABOVE TOTAL x \$40 = \$40

5.5 ATTY DKT:

PMS 256628

MATTER NO.	CLIENT REF.	UNDER ORDER NO	CLIENT NO.	MATTER NO.
03/22/1999 INSUYEN 00000278 09215257		20263		
01 EC:581		dup. sheet not required		

9. STATEMENT AND SIGNATURE.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

*Paul N. Kokulis*  
Signature

for Attorney: Paul N. Kokulis

Reg. No. 16773

Atty/Sec: PNK/kep

TEL: (202) 861-3503

Date: March 19, 1999

FAX: (202) 822-0944

10. Total number of pages including this cover sheet, attachments and document (do not file dup. Cover sheet)

11

FILE WITH PTO RETURN RECEIPT (PAT-103A)

PAT-103A 1/99

# INITIAL SCREENING OF INCOMING PAPERS CHECKLIST

Reviewer: K Chase

Date: 7-2-03

APPLICATION NO. 0500559 -57

## 1. PETITION TYPE CODE

☐ R137(a) Petition-----501  
☐ R137(a) Petition -----509  
     (Issue Fee/Dwgs)  
☐ R137(b) Petition-----502  
☐ R137(b) Petition-----510  
     (Issue Fee/Dwgs)  
☐ R137(f) Petition-----536  
☐ R182 Petition-----519  
☐ R183 Petition-----503  
☐ R378(b) Petition-----532  
☐ R378(c) Petition-----533  
☐ R377 Petition-----521  
☐ R3.81(b) Petition-----523  
☐ R181 Petition-----515  
☐ R181 Petition-----504

## PETITION TYPE CODE

☐ R28c Petition-----321/320  
☐ R47 Petition-----313  
☐ R53(e) Petition-----408  
☐ R53 (R62 filing date)----410  
☐ R10 Petition-----411  
☐ Lost Application-----412  
☐ R78(a)(3) Petition-----535  
☐ R78(a)(6) Petition-----535  
☐ R55(c) Petition-----535  
☐ R314 Petition-----508  
☐ R55(a) Petition-----507  
☐ Pet. W/D Abn-----525  
☐ R705(b) PTA-Bef iss-----550  
☐ R705(d) PTA-Aft iss-----551  
☐ R705(c)PTA-SpiteDueCare-552  
☐ Other \_\_\_\_\_

## 2. LIST PAPERS FILED WITH PETITIONS

<input type="checkbox"/> PreAmdt/Amdt	<input type="checkbox"/> CPA	<input type="checkbox"/> Associate POA
<input type="checkbox"/> Request CofC	<input type="checkbox"/> RCE	<input type="checkbox"/> Change of Address
<input type="checkbox"/> Reply/Arguments	<input type="checkbox"/> IDS	<input type="checkbox"/> Revocation/Poa
<input type="checkbox"/> Election	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Oath/Decl. & POA
<input type="checkbox"/> Notice of Appeal	<input type="checkbox"/> Issue Fee	<input type="checkbox"/> Priority Documents
<input type="checkbox"/> Brief (3)	<input type="checkbox"/> Drawings	<input type="checkbox"/> Statement 3.37(b)
<input type="checkbox"/> Reply Brief	<input type="checkbox"/> Rule 312 Amdt	<input type="checkbox"/> Rescind Non-Pub Req.
<input type="checkbox"/> Declaration R132	<input type="checkbox"/> Ext Time ( )	<input type="checkbox"/> Notice of Foreign Filing

Other Papers Match

3. Is paper a petition to withdraw holding of abandonment: yes no  
 If so, send paper and/or file to appropriate location (Note: remove any flag set first):

- Nonreceipt of action from TC or assertion that reply was timely filed:  
 Send paper to TC \_\_\_\_\_
- Nonreceipt of Missing Parts Notice or assertion that reply was timely filed:  
 Send paper to DIRECTOR -OICE - -CP2-7D25 (PH: 308-0910)
- Assertion of timely payment of issue fee and/or submission of drawings:  
 Send petition to Office of Publications: ATTN: Tom Hawkins
- Other \_\_\_\_\_

4. Other: \_\_\_\_\_

If not handled in Office of Petitions, send paper to appropriate location.

5. Is petition accompanied by assignment papers, fee address, or other paper which needs to be sent to another location? yes no If so, make copy of assignment papers, fee address, or other paper; mail original to proper location and place copy in file with an indication that the original paper(s) has been forwarded to the appropriate location (Assignment Branch; Maintenance Fee Division, etc.)